



Attorney's Docket No. 42390P11429

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:

Liu et al

Application No.: 09/881,218

Filed: June 13, 2001

For: METHOD AND APPARATUS FOR)
TUNING A BRAGG GRATING IN A)
SEMICONDUCTOR SUBSTRATE)

Examiner: Pritchett, Joshua L.

Art Unit: 2872

Mail Stop RCE
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 or PTO/SB/08 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 or PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (if applicable)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on July 8, 2004.
(Date of Deposit)

Yuko Tanaka

(Typed or printed name of person mailing correspondence)

Y. Tanaka
(Signature of person mailing correspondence)

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

- X 37 C.F.R. §1.97(b).
- 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:
- A statement pursuant to 37 C.F.R. §1.97(e) or
- A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).
- 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:
- (1) A statement pursuant to 37 C.F.R. §1.97(e); and
- (2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: July 8, 2004



Cory G. Claassen
Reg. No. 50,296

12400 Wilshire Blvd.
Seventh Floor
Los Angeles, CA 90025
(206) 292-8600

Substitute for Form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)



Complete if Known

| | |
|------------------------|----------------------|
| Application Number | 09/881,218 |
| Filing Date | June 13, 2001 |
| First Named Inventor: | Liu et al. |
| Art Unit | 2872 |
| Examiner Name | Pritchett, Joshua L. |
| Attorney Docket Number | 42390P11429 |

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|-----------------|--------------------------------|--|--|
| | | Number-Kind Code ² (if known) | | | | |
| | 1. | US- | 4,518,219 | 05-21-1985 | Leonberger et al. | |
| | 2. | US- | 5,082,342 | 01-21-1992 | Wight et al. | |
| | 3. | US- | 5,379,318 | 01-03-1995 | Weber | |
| | 4. | US- | 6,014,480 | 01-11-2000 | Baney | |
| | 5. | US- | 6,268,953 B1 | 07-31-2001 | Maloney | |
| | 6. | US- | 6,438,277 B1 | 08-20-2002 | Eggleton et al. | |
| | 7. | US- | 2003/0013438 A1 | 01-16-2003 | Darby | |
| | 8. | US- | 6,628,450 B2 | 09-30-2003 | Samara-Rubio | |
| | 9. | US- | 6,661,937 B2 | 12-09-2003 | Sobiski et al. | |
| | | US- | | | | |
| | | US- | | | | |
| | | US- | | | | |
| | | US- | | | | |
| | | US- | | | | |
| | | US- | | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|---------------------------|---------------------|--------------------------------------|--------------------------------|--|---|----------------|
| | | Country Code ³ | Number ⁴ | Kind Code ⁵ (if known) | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

| | | | |
|--------------------|--|-----------------|--|
| Examiner Signature | | Date Considered | |
|--------------------|--|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.